

*Texas Department of Public Safety*  
Texas Division of Emergency  
Management



Local  
Emergency Management  
Planning Guide

**TDEM-10**

Revision 4

January 2008

## **FOR ADDITIONAL INFORMATION**

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Copies of many of the legal references, forms, and other materials referred to in this document are available for review on the Texas Division of Emergency Management web site: <http://www.txdps.state.tx.us/dem>

# LOCAL EMERGENCY MANAGEMENT PLANNING GUIDE

**TDEM-10**  
Revision 4

## APPROVAL AND IMPLEMENTATION

This *Local Emergency Management Planning Guide* is hereby approved for implementation. This planning guide supersedes the Division of Emergency Management's *Local Emergency Management Planning Guide, Revision 3*, dated January 2004.

01/14/08  
Date

//Signed//  
Chief

# LOCAL EMERGENCY MANAGEMENT PLANNING GUIDE

## RECORD OF CHANGES

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## **INTRODUCTION**

### **I. PURPOSE**

- A. Emergencies and disasters such as hurricanes, floods, tornadoes, terrorist activities, fires, explosions, transportation accidents, infectious diseases, and other potential hazards continuously threaten our state and citizens. In response to these threats, state law requires every political subdivision (county and incorporated city) in Texas to prepare and keep current a local or inter-jurisdictional emergency management plan. Each community's emergency management plan should address specific local hazards. It should also describe how the community expects to employ available resources to protect its citizens during hazardous incidents, major emergencies, and disasters that may threaten public health and safety or private and public property.
- B. Planning provides two principal benefits: (1) It allows jurisdictions to influence the course of events in an emergency by determining in advance the actions, policies and processes that will be followed; and (2) It contributes to unity of effort by providing a common plan for activity in the event of an emergency.
- C. This *Guide* is intended primarily for use by local officials responsible for developing and maintaining local emergency planning documents, including the basic emergency management plan and annexes. Also, the *Guide* provides procedures for submitting these documents to the Texas Division of Emergency Management (TDEM).

### **II. AUTHORITY**

This *Guide* is prepared by TDEM pursuant to:

- A. § 418.043 of the Texas Government Code (the Texas Disaster Act), which provides that the Division shall adopt standards and requirements for local and inter-jurisdictional emergency management plans and shall periodically review local and inter-jurisdictional emergency management plans.
- B. § 418.044 of the Texas Government Code, also requires the Division to take an integral part in the development and revision of local and inter-jurisdictional plans.

### **III. SUPERSESSSION**

This *Local Emergency Management Planning Guide* supersedes the *DEM Local Emergency Management Planning Guide, Revision 3*, dated January 2004.

### **IV. OVERVIEW**

- A. Chapter 1 provides an overview of local, state, and federal emergency management responsibilities.
- B. Chapter 2 outlines the rationale for emergency planning and describes planning theory and concepts.

- C. Chapter 3 describes a recommended process for developing an all-hazard emergency management plan.
- D. Chapter 4 outlines emergency management plan format and content.
- E. Chapter 5 provides suggestions for preparing local emergency planning documents.
- F. Chapter 6 outlines procedures for submitting local planning documents for review by TDEM.
- G. Chapter 7 discusses state planning standards for local government basic plans and functional annexes and related sample planning documents.

## **V. EXPLANATION OF TERMS**

COG	Council of Governments
DDC	Disaster District Committee
DHS	Department of Homeland Security
EMC	Emergency Management Coordinator
EMI	Emergency Management Institute
ESF	Emergency Support Function
EOC	Emergency Operations Center
FEMA	Federal Emergency Management Agency
TDEM	Texas Division of Emergency Management
MAP	Mitigation Action Plan
NIMS	National Incident Management System
NRF	National Response Framework
RLO	Regional Liaison Officer
SAA	State Administrative Agency
SOC	State Operations Center
SOP	Standard Operating Procedures

## **VI. REFERENCES**

### **A. Legal**

1. Texas Government Code, Chapter 418 (Emergency Management). This section of the Government Code may also be cited as the Texas Disaster Act.
2. Texas Government Code, Chapter 421 (Homeland Security).
3. Texas Government Code, Chapter 433 (State of Emergency).
4. Texas Administrative Code, Title 37, Part I, Chapter 7 (Emergency Management).
5. Governor's Executive Order RP 40
6. US Nuclear Regulatory Commission Regulation (NUREG) 0654



## B. Other

1. DEM *State of Texas Hazard Analysis*.
2. DEM *Disaster Recovery Texas Manual* (DEM-62).
3. DEM *Hazard Mitigation Handbook for Local Government* (DEM-30).
4. TDEM *Preparedness Standards for Texas Emergency Management* (TDEM-100).
5. FEMA *Guide for All-Hazard Emergency Operations Planning* (SLG-101), September 1996.
6. *State of Texas Emergency Management Plan*
7. *Department of Homeland Security Grants Program*
8. *National Incident Management System*
9. *National Response Framework*

## VII. DISTRIBUTION

Initial notice of the availability of this guide on the TDEM website ([www.txdps.state.tx.us/dem](http://www.txdps.state.tx.us/dem)) is made to each Emergency Management Coordinator (EMC) in the state by e-mail. In the event the TDEM website is not accessible to a jurisdiction, copies are available from TDEM Regional Liaison Officers (RLOs) or by contacting the TDEM Preparedness Section at (512) 424-2450.

## VIII. FORMS AND OTHER MATERIALS

To obtain copies of the forms and other materials referred to in this document, please contact TDEM as indicated on the inside front cover of this *Guide*. TDEM RLOs maintain copies of most of these materials. Copies of many of the legal documents, forms, and other materials mentioned in this document are posted on the TDEM website; this address is included on the inside front cover of this document.

## **CHAPTER 1—OVERVIEW OF LOCAL, STATE, AND FEDERAL EMERGENCY MANAGEMENT RESPONSIBILITIES**

### **I. GENERAL**

The basic emergency management responsibilities of local governments, state agencies and public officials are outlined in Chapters 418 and 433 of the Texas Government Code (The Texas Disaster Act), Executive Orders of the Governor Relating to Emergency Management, and Title 37, Part I, Chapter 7 (Emergency Management) of the Texas Administrative Code. Relevant portions of those authorities are summarized below.

### **II. LOCAL GOVERNMENT RESPONSIBILITIES**

#### **A. City and County Responsibilities**

1. Every political subdivision (county or incorporated city) is expected to maintain an emergency management program or participate in an inter-jurisdictional program. Programs may be organized at the local (county or city) level or on an inter-jurisdictional basis. In the event jurisdictions overlap, such as a city divided by a county line, the city must choose to have its own program or select one of the two inter-jurisdictional county programs if available. The city should select the program that provides the greatest amount of support. In summary, a jurisdiction can only belong to one jurisdictional program.
  - a. Municipal Programs. Incorporated cities may establish and maintain their own local emergency management program. Cities that do not maintain their own program are expected to participate in the county emergency management program, which is typically organized on an inter-jurisdictional basis. Cities that do not maintain their own emergency management programs shall designate a liaison officer to work with their county in emergency management activities. Municipal emergency management programs are established by City Ordinance (see Attachment 2).
  - b. County Programs. Counties are required to maintain an emergency management program or participate in a local or inter-jurisdictional program that serves the entire county or inter-jurisdictional area, except those cities that have established their own local programs. County emergency management programs are established by Commissioners Court Order (see sample in Attachment 3).
  - c. Inter-jurisdictional Programs. Inter-jurisdictional programs involving one or more cities and/or one or more counties may be established as desired for joint participation in an emergency management program. Inter-jurisdictional emergency management programs are established by joint resolution of the cities and county or counties concerned after each of those jurisdictions have established their own programs by City Ordinance or Commissioners Court Order. A sample joint resolution is provided in Attachment 4 to this Guide.
  - d. Adding or Withdrawing a Jurisdiction from an Inter-jurisdictional Program (see Chapter 6, Submitting Local Planning Documents).

- e. *National Incident Management System (NIMS)*. All counties and incorporated cities, including all parties to an inter-jurisdictional plan, must formally adopt NIMS principles and policies through court order or ordinance to be eligible for Department of Homeland Security grant funding.
  - f. **Legal Documents.** Copies of City Ordinances, Commissioners Court Orders, and joint resolutions establishing emergency management programs should be reviewed by a jurisdiction's legal entities and must be provided to TDEM (see Chapter 6 for further information). Copies of a NIMS adoption court order or ordinance must also be provided to TDEM.
- 2. Each local or inter-jurisdictional emergency management agency is required to prepare and keep a current, NIMS compliant, emergency management plan which addresses preparedness, response, and recovery. The plan must contain clear and complete statements regarding the emergency responsibilities of local agencies and officials. The plan must meet the state planning standards promulgated by TDEM (see TDEM – 100). The plan must also allow for integration of the National Response Framework (NRF) Emergency Support Functions (ESF), when activated.
  - 3. Each local or inter-jurisdictional emergency management agency shall distribute their emergency management plan to all appropriate officials, including those agencies or individuals who are assigned responsibilities in the plan. Copies of local planning documents and changes to those documents must be submitted to TDEM for review (see Chapter 6 for further information).

#### B. Responsibilities of Mayors and County Judges

- 1. The Mayor of each municipality and the County Judge of each county are designated by Texas law as the Emergency Management Directors for their respective jurisdictions. Emergency Management Directors may designate an Emergency Management Coordinator (EMC) to administer the emergency management program. An EMC for an inter-jurisdictional organization should be appointed by mutual agreement of the Judge(s) and the Mayor(s) concerned.
- 2. Mayors and Judges shall notify TDEM in the manner in which the political subdivision is providing an emergency management program, identify the person who manages the program, and furnish additional information required by the Division. This requirement is satisfied when a TDEM-147 is completed by a Mayor or County Judge and submitted to TDEM.
- 3. An updated TDEM-147 should be submitted when there is a change in Mayor, Judge or EMC, and related addresses and telephone numbers. If the county EMC has been appointed to other jurisdictions within the county, the County Judge and the participating City Mayors must all sign the same form. Copies of TDEM-147 are available upon request from TDEM or may be downloaded from the TDEM website. The website address is listed on the inside front cover of this document.

4. Mayors and Judges are also responsible for:
  - a. Providing guidance and direction for the emergency management program.
  - b. Taking actions to equip and train local emergency responders and officials and provide appropriate emergency facilities.
  - c. Declaring a local state of disaster when appropriate. After such declaration, they may issue orders or proclamations invoking specific emergency powers of those granted the Governor in the Texas Disaster Act on an appropriate local scale to respond to and recover from the disaster.
  - d. Directing the local response to emergency situations using local resources, resources from other jurisdictions covered by mutual aid agreements and/or the Statewide Mutual Aid System, and any other on-call emergency resources that the local government may have contracted.
  - e. Requesting external assistance if local resources are inadequate or inappropriate to deal with the emergency situation. Channels for requesting assistance during an emergency are depicted in Figure 1-1 at the end of this chapter. The county should be the first source of external assistance for a city. Requests for state assistance should be made by the Chief Elected Official to the local Disaster District Committee (DDC) Chairman.
  - f. During emergencies, keeping the public and the local DDC informed of the situation.
  - g. Overseeing recovery programs and related hazard mitigation programs after a disaster.

#### C. Responsibilities of the EMC

The responsibilities of the EMC are generally determined by the Mayor or Judge who appointed him/her, and typically include the following:

1. Serves as the staff advisor to the Mayor or County Judge on emergency matters and advises the local governing body on the city or county's preparedness status.
2. Implements emergency management guidance and policies established by the Mayor or Judge.
3. Coordinates local emergency planning, training, and exercise activities and oversee maintenance of the local emergency management plan.
4. Coordinates operational response to local emergencies and disasters.
5. Oversees readiness of the local Emergency Operations Center (EOC) and warning system; manages the EOC when in operation.

4. Maintains liaison with local emergency service providers, school districts, organized emergency volunteer groups such as the Salvation Army and the American Red Cross, industry, and other organizations or agencies that may be involved in disaster preparedness, response, and recovery.

### **III. STATE GOVERNMENT RESPONSIBILITIES**

#### **A. The Governor**

The Governor is charged with meeting dangers to the state and people presented by disasters and providing guidance and direction for state emergency management efforts. The Governor may declare a state of disaster and exercise emergency powers set out in the Texas Disaster Act. If state resources are inadequate to resolve an emergency situation, the Governor may request assistance from other states pursuant to interstate compacts. The Governor may also request specific assistance from the federal government or request that the President issue federal emergency or disaster declarations that activate a variety of federal assistance programs.

#### **B. The Emergency Management Council**

Pursuant to provisions of the Texas Disaster Act, the Governor has established an Emergency Management Council, consisting of representatives of 30 State agencies and two volunteer groups, to advise and assist in all matters relating to disaster preparedness, response, and recovery. During major emergencies and disasters, all or a portion of the Emergency Management Council convenes at the State Operation Center (SOC) to coordinate the use of state resources to respond to the emergency situations and respond to local requests for emergency assistance that cannot be resolved at the Disaster District level.

#### **C. The Texas Division of Emergency Management**

1. The Division operates the SOC, monitors incidents throughout the state on a continuous basis, coordinates and supports response activities of the Emergency Management Council during major emergencies and disasters, and provides situation reports to senior state officials and the Emergency Management Council. The Division administers post-disaster recovery and mitigation programs in accordance with the Stafford Act. The Division also assists the Governor with other matters relating to emergency management.
2. The Division maintains the state emergency management plan, promulgates state standards and requirements for local and inter-jurisdictional emergency management plans, reviews such plans, and maintains a database on the status of local emergency planning.

3. The Division administers several grant programs that provide financial assistance to local governments and agencies in order to improve local emergency management programs. Additional grant programs are available for the improvement of emergency facilities and equipment, hazardous materials planning and training, and property protection mitigation for coastal jurisdictions.
4. The Division serves as the Governor-appointed State Administrative Agency (SAA) for the Federal Emergency Management Agency (FEMA) Homeland Security Grant Program. SAA responsibilities include making all necessary grant applications for the state and making sub-grants as requested by the Council of Governments and the State Director of Homeland Security.
5. The Division has field representatives, called Regional Liaison Officers (RLOs), stationed throughout the state to assist local governments with preparedness activities and to advise local and state officials during emergencies. For preparedness activities, the RLO is a vital point of contact for local governments.

#### D. Disaster Districts

1. Disaster Districts are the State's regional emergency management organizations. The boundaries of these Districts coincide with the boundaries of state planning regions (Councils of Government/Regional Planning Commissions). Each Disaster District has a Disaster District Committee (DDC), which is chaired by a local Texas Highway Patrol District Commander. The DDC consists of local representatives of agencies that are members of the State Emergency Management Council who are familiar with agency resources in the area. In response to a request for emergency assistance from a Mayor or County Judge, the DDC Chairman works with the committee members to identify and commit appropriate state resources to satisfy the request. A map of the state's Disaster Districts is available on the TDEM web page (see the inside front cover of this document).
2. If a local request for assistance cannot be satisfied with resources available to the Disaster District, the request is forwarded to the SOC for action by the Emergency Management Council or TDEM Staff.

#### E. Council of Governments

Councils of Government (COG) are regional agencies that provide assistance to jurisdictions in their region. There are presently 24 COGs covering the state which dispense Federal grant funds to the jurisdictions and provide training and planning assistance when requested by local jurisdictions.

#### **IV. FEDERAL GOVERNMENT RESPONSIBILITIES**

##### **A. The U.S. Department of Homeland Security**

The Department of Homeland Security (DHS) is the primary federal agency with overall responsibility for the national homeland security and emergency management programs.

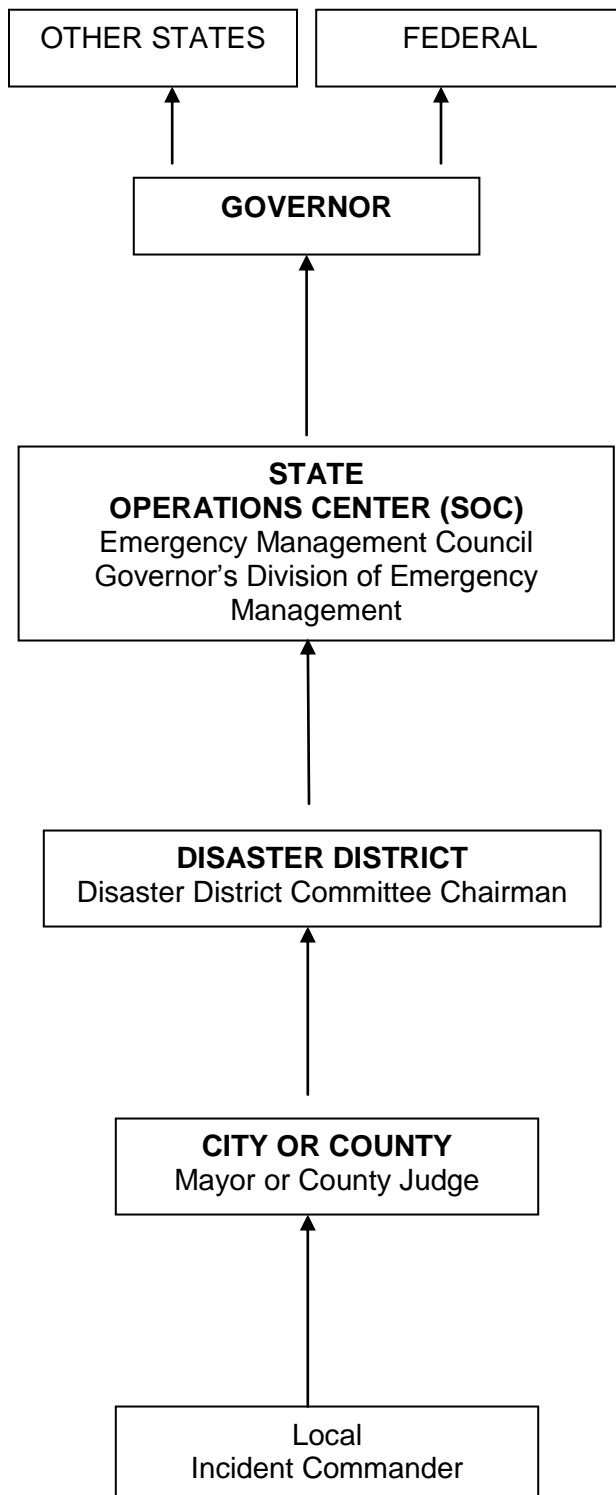
##### **B. The Federal Emergency Management Agency**

1. The Federal Emergency Management Agency (FEMA) is an operational element of DHS and oversees federal emergency management efforts nationwide. FEMA's national headquarters is in Washington, D.C. and the agency has ten regional offices. The regional office for FEMA Region VI, which includes Texas, is located in Denton, Texas.
2. FEMA responsibilities include, but are not limited to, the following:
  - a. Reducing the loss of life and property and protecting our institutions from all hazards through a comprehensive, risk-based emergency management program of preparedness, response, and recovery.
  - b. Coordinating the federal response to disasters that exceed the capabilities of state and local governments and assisting communities in recovering from such disasters.
  - c. Supporting state and local emergency management programs by funding programs for emergency management planning, training, and exercises.
  - d. Operating the Emergency Management Institute (EMI) in Emmitsburg, Maryland. EMI offers resident courses and seminars for emergency managers and local officials addressing a variety of emergency management topics related to mitigation, preparedness, response, and recovery. EMI supports federal, state, and local field-training activities by developing educational materials for national distribution.
  - e. Assisting in the development of mitigation programs directed at reducing the impact of disasters and providing technical assistance, training, and grants to government agencies for researching, developing, and implementing such programs
  - f. Sponsoring programs that teach the public how to prepare for disaster.
  - g. Operating the U.S. Fire Administration, which conducts training, public education, and research related to fire protection and emergency response procedures.

- h. Operating the Federal Insurance Administration, which makes flood insurance available to communities that agree to adopt and enforce sound floodplain management practices.



Figure 1-1  
**EMERGENCY ASSISTANCE CHANNELS**



If state resources are inadequate to deal with the emergency, the Governor may request aid from other states pursuant to interstate compacts or from the federal government.

Employs statewide resources to respond to emergency needs. The Governor must authorize activation of the National Guard.

Employs state resources within the district to respond to emergencies. If district resources are inadequate, forwards request to the SOC.

**Cities & Counties:**

1. Use own resources first.
2. Invoke mutual aid agreements & activate contract resources.
3. If local resources are inadequate, request state assistance from local Disaster District. (Cities must first request assistance from their county.)

Requests resources from the local Emergency Operations Center.

## **CHAPTER 2—THE NEED FOR PLANNING AND PLANNING CONCEPTS**

### **I. WHY PLAN?**

There are numerous reasons to plan for the inevitable emergencies and disasters that communities face, including the following:

- A. Elected leaders are legally responsible for ensuring necessary and appropriate actions are taken to protect people and property from the consequences of emergencies and disasters. When disasters threaten or strike a jurisdiction, people expect local officials to take immediate action to address the problems that are created. An emergency management plan provides a framework to respond in any emergency situation, whether it occurs unexpectedly or develops slowly.
- B. An emergency management plan outlines concepts of operations for coordinated efforts by local officials, emergency responders, other governmental departments, volunteer groups, and other individuals or agencies to perform emergency functions. It has been repeatedly demonstrated pre-planning emergency operations saves time in getting operations underway, facilitates integrated effort, and helps ensure essential activities are carried out efficiently. When an emergency plan exists and local officials and emergency responders are familiar with it, they have a common guide for action.
- C. A properly prepared emergency management plan provides a concise statement of the emergency responsibilities of local officials, departments, and agencies, as well as descriptions of the emergency functions volunteer groups, industry, schools, hospitals, and other entities agree to perform so those individuals who must respond to an emergency have a clear understanding of what they are supposed to do and what others will do.
- D. Emergency planning is a national priority, as reflected in the *National Preparedness Guidelines*.

### **II. WHAT AN EMERGENCY MANAGEMENT PLAN IS**

An emergency management plan is a document that:

- A. Describes the legal basis for emergency management activities.
- B. Outlines lines of authority and organizational relationships during emergency situations, and describes how actions will be coordinated.
- C. Includes a concept of operations for responding to and recovering from emergency situations.
- D. Assigns responsibility to organizations and individuals for carrying out specific emergency actions to protect lives and property.

- E. Identifies personnel, equipment, facilities, supplies, and other resources available within the jurisdiction or by agreement with other jurisdictions for use during response and recovery operations.
- F. Outlines procedures to request assistance from the State if local resources are insufficient to deal with an emergency situation.
- G. Identifies mitigation actions to reduce the threat posed by known hazards.

### **III. WHO SHOULD HAVE A PLAN**

- A. Chapter 418 of the Government Code provides that each county shall maintain a local emergency management program or participate in an inter-jurisdictional program that serves the entire county or inter-jurisdictional area, except for those cities that have established their own programs.
- B. Cities may establish their own local emergency management program. As a general rule, cities that do not have a 24-hour warning point or operate their own fire protection and law enforcement programs, or control such programs, should participate in an inter-jurisdictional program with their county. Cities that have established their own local emergency management program should prepare their own emergency management plan.
- C. Chapter 418 of the Government Code provides that each local and inter-jurisdictional agency shall prepare and keep current an emergency management plan for its area providing for disaster mitigation, preparedness, response, and recovery.

### **IV. RELATIONSHIP OF EMERGENCY MANAGEMENT PLANS TO OTHER PLANS**

Although the emergency management plan of the jurisdiction is considered the centerpiece of a comprehensive emergency management program, other plans prepared by a jurisdiction may address certain issues pertinent to emergency management. Some of the other types of plans include:

#### **A. Administrative Plans**

These types of plans outline objectives, strategies, policies, schedules, and task assignments for certain governmental functions, such as financial management and capitol improvements. Such plans generally do not address emergency management operations. However, if provisions of an administrative plan apply in emergency situations, such as a financial management plan that requires that the costs of emergency operations be tracked and reported by city departments, then the administrative plan should be referenced in an appropriate part of the emergency management plan.

#### **B. Mitigation Action Plan**

1. As a result of the *Disaster Mitigation Act of 2000*, which amended the *Stafford Act* and *44 CFR Parts 201 and 206*, all states and local governments must have a comprehensive Mitigation Action Plan (MAP) if they wish to be eligible for federal mitigation grant funding. As of November 21, 2004, a government that

does not have a federally approved MAP will be ineligible for the mitigation grant funds, and will remain ineligible until they obtain FEMA approval of their MAP.

2. Jurisdictions may prepare their own MAP, or they may join in a collaborative effort with neighboring jurisdictions and prepare a MAP that addresses mitigation issues for the area of responsibility for all participants. A comprehensive multi-jurisdictional MAP should consider mitigation activities for all participating communities. It should also consider man-made as well as technological hazards.

## **V. RELATED MATERIALS**

An effective emergency management program requires both an emergency management plan and related materials needed to implement the plan.

### **A. Standard Operating Procedures**

1. Plans outline objectives, include organizational arrangements, provide a concept of operation, and contain general task assignments, such as traffic control. The detailed procedures for carrying out specific tasks such as traffic control are not normally made part of a plan, but rather are published in Standard Operating Procedures (SOPs) typically prepared at the department level.
2. As a general rule, information that all users of a plan or annex need to know should be included in those documents, but “how to” information needed only by specific individuals or groups should be included in SOPs. Reference should be made in the basic plan or annexes to SOPs pertinent to emergency functions discussed in the plan or its annexes.
3. The local EMC must work with the departments tasked in the plan to ensure they have SOPs that adequately address emergency functions and that those SOPs complement rather than conflict with the emergency management plan.

### **B. Call Lists and Rosters**

It is vital to have call lists and rosters to summon emergency responders; make required notifications of certain types of incidents to local, state, and federal agencies; and activate emergency facilities and equipment. However, such materials should not be made part of the plan itself, because they contain information that generally changes frequently.

## **VI. PLANNING CONCEPTS**

The following planning concepts are material to the development of a comprehensive local emergency management plan:

- A. Planning should be based on the general rule that an emergency should be met at the lowest and most immediate level of government with a response capability appropriate to the situation. In most cases, the first responders will be agencies from local governments that must manage the situation with local resources. If local

resources are inadequate, unavailable, or inappropriate to address the emergency situation, assistance may be requested from the State.

- B. Planning should be based on an all-hazards approach. This approach is based on the fact that most of the functions performed during an emergency are not hazard-specific. The tasks that must be performed to evacuate local residents because of flooding are similar to the tasks that must be performed to evacuate residents because of a hazardous materials spill. By following this concept, planners can avoid spending substantial time and effort developing detailed individual plans for every specific hazard.
- C. The written plan and its components should explain the overall approach of the jurisdiction to emergency situations, define roles and responsibilities and provide guidance for local officials and response forces to follow.
- D. Base your planning on facts and reasonable assumptions.
- E. Place the greatest emphasis in planning on those hazards that pose the greatest risk. The results of your local hazard analysis should be your guide for prioritizing your efforts.
- F. Plans must clearly assign tasks, allocate resources, and establish accountability.
- G. Planning should address the use of local government and other local governmental organizations (such as school districts) resources and those of the private sector (volunteer groups active in disaster, business and industry). But, do not assume assistance from non-governmental organizations unless you have coordinated in advance with those organizations.
- H. No radical organizational changes are needed to develop a comprehensive emergency management plan. The same departments or agencies that are responsible for certain functions on a day-to-day basis (such as the fire service and law enforcement) typically retain those responsibilities during an emergency. However, organizational arrangements for emergency operations should provide for the integration of state and federal response elements and volunteers during major emergencies.
- I. The development of written plans is not an end in itself and having a written emergency plan does not guarantee that emergency operations will be effective. It is always better to have a plan and not need it, than need a plan and not have it.

## CHAPTER 3—THE PLANNING PROCESS

### I. PRINCIPLES

Developing a plan may appear to be an extremely difficult task. It need not be if the following principles are applied in the process:

- A. Take an All-Hazard Approach. The causes of emergencies can vary greatly, but the effects do not. This means in our planning we consider similar effects caused by various hazards instead of having to have unique plans for every type of hazard. For example, floods, wildfires, and hazardous materials releases may make it necessary to evacuate people from their homes, but we can adequately plan for evacuations as a result of these hazards by having a generalized planning document that addresses the common tasks required to carry out the emergency function of evacuation. A key aspect of all-hazard planning is to ensure that in our planning for emergency functions, common tasks are identified and responsibility for those tasks assigned.
- B. Use Available Guidance and Planning Materials. TDEM publishes written state standards for local emergency planning and this *Guide* as a general emergency planning aid. The Division has prepared a sample basic plan and sample annexes to use in the planning process. These sample planning materials are general documents to which information on local procedures and resources must be added and the text tailored to address specific local circumstances. Copies of these materials are available on the TDEM web site; see inside front cover front cover for information.
- C. Use the Team Approach. Just as a coordinated emergency response depends on teamwork, good emergency planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives of the departments, agencies, and groups that will have to execute the plan. The planning team for an inter-jurisdictional emergency management program should include representatives from the county and cities that are part of the program. Local EMCs typically coordinate emergency planning, but should never prepare a plan in isolation. Among the benefits of a team approach to planning are:
  - 1. The plan is more likely to pass a common sense check and be accepted and used if the individuals and organizations tasked in it have a sense of ownership – they participated in the planning process and their views were considered and incorporated.
  - 2. Diversity in planning team members brings experience, information, and insights to the planning effort that no single individual would ever have.
  - 3. Coordination among response and recovery organizations in the planning process should translate into better coordination and teamwork in emergencies.
- D. Involve Your Elected Officials. Seek the support of your elected officials to make emergency planning a priority task. Explain what you are doing and why; outline your proposed schedule and the assistance you need. It generally helps to have the chief elected official sign a letter to departments and external groups backing the project and requesting staff support for the planning effort. This type of direction from above often makes it easier to obtain the diverse representation needed to

produce a good plan. Invite senior officials to review and comment on your work before you get to the signature stage.

- E. Build on what exists in the Jurisdiction. If your jurisdiction has an old emergency plan that is not current, it still may be a good place to start in developing a new plan. Existing plans can highlight pertinent local legal authorities, organizational arrangements used in the past, and historical hazards, and may provide information on how some planning issues were resolved in the past. The EMC should review the existing plan for inaccuracies, inconsistencies, omissions, and vagueness. A review of recent emergency operations and exercises may also help identify particular issues that need to be addressed in the planning process.
- F. Seek Assistance. The TDEM RLOs routinely provide advice and assistance with emergency planning upon request by local government. In addition, they are generally knowledgeable of nearby jurisdictions that may have confronted similar planning issues and may suggest a point of contact willing to assist in the planning effort. In most instances, the COG will also be available to assist with local government planning initiatives, when requested.
- G. Take Advantage of Training Opportunities. The TDEM Training and Exercise Unit offers a course in emergency planning intended primarily for local emergency management personnel. Information about this course is provided in the TDEM annual Training Catalog, which is available from the Training and Exercise Unit, or on the TDEM web site (see the inside front cover of this *Guide*).
- H. Incorporate NIMS. Fully integrate NIMS concepts and principles into all aspects of the planning process.

## **II. STEPS IN THE PLANNING PROCESS**

The planning process is critical to the development of a plan. This process by which the plan is developed will determine, to a great extent, the usefulness and completeness of the plan. This section discusses the planning process as a sequential procedure with four phases or steps: research, plan development, plan promulgation, plan distribution. These steps are described below.

### **A. Research**

This step establishes the basis to be used in planning. It emphasizes the gathering, organizing, and analyzing a broad range of information about the characteristics of your community that could affect planning, identifying the hazards it faces and the emergency resources available, and assessing the capabilities and limitations of those resources. This step is accomplished through collecting, analyzing, and applying data as described below.

#### **1. Hazard Analysis**

- a. The emergency management plan must be responsive to the hazards that face the community. It is not sufficient to merely identify the hazards. The potential consequences of these hazards on the community must be assessed. Planners should conduct a detailed analysis of the hazards which have affected the community in the past and are believed to currently face the community, taking account of the frequency of past incidents, extent of areas affected, duration of impact, intensity, as well as casualties and

property damage. This effort should include determining the population and facilities located in specific risk areas such as flood plains, hurricane risk areas, and areas vulnerable to hazardous materials releases. If a hazard analysis already exists, it should be updated before proceeding with planning.

- b. After identifying hazards facing your community, you should assess the likelihood of incidents involving those hazards occurring in the future. As there is generally insufficient information to establish precise statistical probability of specific types of incidents occurring, a qualitative scale (such as likely, occasional, unlikely, very unlikely) is generally used. After making an assessment of the chances of a hazardous incident occurring, the next step is to make an estimate of the potential impact or risk such incidents pose to both people and property; a qualitative scale (such as minimal, moderate, severe, catastrophic) is generally used in assessing risk. And the risk posed by many hazards often range on the qualitative. For example, a tornado that touches down in an isolated area may cause little damage to the population or property, while a tornado that touches down in the center of a town may cause both catastrophic damage and extensive casualties. Hence, risk posed by tornadoes may range from minimal to catastrophic. As noted previously, planning should address all risks, but the greatest effort should be focused on those hazards that are most likely to occur and also pose the greatest risk.
  - c. Among the source materials that may be helpful in the hazard analysis effort are:
    - 1) Historical data on previous disasters from local records.
    - 2) Population data.
    - 3) Information on special facilities, such as schools and hospitals.
    - 4) Data on facilities that make, use, or store hazardous materials.
    - 5) Land use, zoning, and floodplain maps.
    - 6) Maps depicting transportation routes, known hazards (such as floodways and hazardous materials sites), and special needs facilities.
    - 7) The *State of Texas Hazard Analysis*, available from TDEM.
  - d. The hazard analysis for an inter-jurisdictional emergency management program should address the hazards faced by all jurisdictions that participate in the program.
  - e. Additional information on developing a local hazard analysis and how it can be used to identify and prioritize potential hazard mitigation projects and emergency management needs is provided in DEM's *Mitigation Handbook for Local Government* (DEM-21).
2. Identify Existing Resources
- a. Planners should compile a list of the resources, both equipment and personnel, that a jurisdiction has available for meeting emergency



requirements. This should include contract resources available pursuant to mutual aid agreements and agreements with volunteer groups, businesses, or industry, as well as any resources available from emergency response firms.

- b. Plans should be based on the resources actually available. If deficiencies are identified, additional resources should be sought through local programming, budget, and acquisition processes and the chief elected official notified.

### 3. Review Existing Legal and Planning Documents

- a. Existing legal documents that establish the emergency management program should be reviewed before preparing to draft an emergency management plan. Existing plans, annexes, Standard Operating Procedures (SOPs), and other emergency-related documents should be reviewed against current criteria in order to determine whether or not deficiencies exist.
- b. If existing legal authorities are current and plans and procedures are realistic, accurate, and complete, the planning task may simply involve updating those documents rather than the preparation of entirely new materials.

## B. Plan Development

### 1. Organization

- a. The preferred planning organization is a team of teams: a planning group overseeing the overall effort, resolving major planning issues, and ensuring various parts of the plan are coordinated, plus smaller teams of individuals representing departments, agencies, and groups called together to work on specific annexes. This approach helps ensure the plan is comprehensive and realistic, with minimal duplication. In developing an inter-jurisdictional plan, representatives of all jurisdictions covered by the plan should participate in its development. In the team approach, the EMC typically assumes the role of lead planner. As the lead planner, the coordinator should aim to create an atmosphere that facilitates cooperation by department heads, organizational leaders, and private/volunteer groups in plan preparation.
  - b. Emergency planning is typically organized by ESF, but other approaches may be useful. It is advisable to present in a short document available to all participants the objectives of the effort, any known assumptions and constraints, the desired format for written products, and a schedule for completion of various tasks. It is particularly important that the state standards for the basic plan and annexes and sample planning materials be available to participants. Examples of planning materials prepared by other jurisdictions may also be helpful.
2. Methodology. There is no standard methodology for emergency planning, but the following approach may be useful.
- a. Using hazard consequences and risk estimates identified in the local hazard analysis, develop likely incident scenarios, and formulate a comprehensive list of the tasks that need to be accomplished to successfully resolve the emergency situations caused by each hazard.

- b. Review those factors that led to success in previous emergency operations and those factors that adversely affected such operations.
- c. Determine who should be in charge and identify how that individual will initiate the response and direct the effort.
- d. Identify the overall set of resources available for emergency operations. In developing an inter-jurisdictional plan, the resources available in all jurisdictions that are party to the plan should be considered.
- e. Identify which departments and agencies will carry out the various tasks that must be performed and their capabilities and limitations. Emergency planning should be based on actual capabilities, not wishful thinking.
- f. Determine how the efforts of the departments and agencies carrying out specific tasks should be organized and coordinated to achieve overall success.
- g. Formulate a realistic concept of operations for the emergency function.
- h. Identify information needed by responders and local officials for preplanning and during the response.

### 3. Planning Requirements and Suggestions

- a. Pursuant to §418.043 of the Government Code, TDEM has published guidance for local emergency planning that includes requirements for a basic plan and annexes that address certain emergency functions. State planning standards outline the minimum content for these planning materials. These standards are discussed in more detail in Chapter 7 of this *Guide*. Planners will ensure planning documents meet state standards when reviewing updates and revisions.
- b. TDEM also publishes and distributes templates for the basic plan and each annex for local governments to develop their emergency planning documents. These sample documents are organized to correspond with state planning standards. A listing of the standardized local planning documents is shown in Chapter 7 (Figure 7-1). If multiple annexes are combined, the combined document must meet the state planning standards for each separate annex.

### C. Plan Promulgation

New or revised emergency management planning documents must be approved and signed by local officials as follows:

#### 1. Basic Plan

- a. A municipal emergency management plan must be approved, signed, and dated by the Mayor.
- b. A county emergency management plan must be approved, signed, and dated by the County Judge.

- c. An inter-jurisdictional plan must be approved, signed, and dated by the County Judge(s) and the Mayor(s) of all jurisdictions that are party to the plan.

## 2. Annexes

All plan annexes must be approved, signed, and dated by a local official. Local governments should decide who will sign annexes. Among options that may be appropriate are approval and signature by:

- a. the EMC,
- b. the individual assigned primary responsibility in the basic plan for the emergency function covered by the annex,
- c. the EMC and the individual assigned primary responsibility for the emergency function covered in the annex, or
- d. the heads of those departments and agencies tasked in the annex.

## D. Plan Distribution

The basic plan should include a distribution list that indicates who receives copies of the basic plan and various annexes to it. In general, individuals who receive annexes to the basic plan should also receive a copy of the basic plan, because that document describes the emergency organization and basic operational concepts, includes general task assignments, and provides guidance on developing and maintaining the plan and its annexes.

### 1. Confidential Information

For security reasons, confidential information should not be included in the plan submitted for review. If confidential information is required to satisfy planning standards, indicate the title of the person maintaining the information and the location of the information. For example, "This information is considered confidential and maintained by the Emergency Management Coordinator (EMC) at the Emergency Operations Center (EOC)."

### 2. Local Distribution

Copies of plans and annexes should be distributed to those individuals departments, agencies, and organizations tasked in the document; copies should also be provided to elected officials and set aside for the emergency operating center and other emergency facilities. A complete distribution list should be included as Attachment 1 to your Basic Plan.

- a. Consideration should be given to providing paper or electronic copies of the plan and its annexes.
- b. If the jurisdiction has a local area computer network or web site, it may be desirable to post the plan on the network or web site.

## III. PLAN MAINTENANCE

Once planning documents are developed, a system of maintenance must be established to ensure they are kept current.

#### A. Requirements

1. Except as indicated below, local government emergency management plans and annexes should be **reviewed annually** and must be **updated at least every five years** by revision or change.
2. The date of the plan is determined by the most recent signature date on the planning document. In case of multiple signatures, the plan date is determined by the most recent signature date. The plan or annex expires on the 5<sup>th</sup> year anniversary of the original (signature page) date of the planning document. Upon expiration, the jurisdiction's Preparedness Planning Profile will be updated to reflect the planning document is outdated and the assessment of Planning Preparedness will be adjusted accordingly. See TDEM-100, Preparedness Standards for Texas Emergency Management, Section 1 – Planning Standards.
3. To comply with requirements outlined in Nuclear Regulatory Commission Regulation 0654/FEMA-REP-1, the plans of cities and counties located within the emergency planning zones of the Comanche Peak and South Texas Project nuclear power plants must be reviewed, updated if needed, and certified annually to be current.

#### B. Review and Update

1. *Review.* The basic plan and its annexes should be reviewed annually by local officials. The EMC or, if no coordinator has been appointed, the Mayor or County Judge should establish a process for annual review of planning documents by those tasked in them and for preparation and distribution of revisions or changes.
2. The process for submitting updated planning documents to TDEM is described in Chapter 6 of this *Guide*.
3. *Update*
  - a. Changes should be made to plans and annexes when the documents are no longer current. Changes in planning documents may be needed when:
    - 1) Hazard consequences or risk areas change;
    - 2) The concept of operations for emergencies changes;
    - 3) Departments, agencies, or groups which perform emergency functions are reorganized, can no longer perform emergency tasks laid out in planning documents;
    - 4) Warning and communications systems are upgraded;
    - 5) Additional emergency resources are obtained through acquisition or agreement, the disposition of existing resources changes, or anticipated emergency resources are no longer available;

- 6) A training exercise or an actual emergency reveals significant deficiencies in existing planning documents; or
- 7) When state planning standards for the documents are revised.

b. Methods of Updating Planning Documents

1) Plan Revision

- a) A revision is a complete rewrite of an existing plan or annex, resulting in a new document. Revisions are advisable when numerous pages of the document are updated, major portions of the existing document are deleted, or substantial text added. Revised documents require new signatures by local officials. Revised planning documents should be mailed to the TDEM Policy and Plans Unit at least 60 days prior to the 5-year anniversary date to permit sufficient time for review.
- b) When TDEM receives revised local planning documents from a jurisdiction, the preparedness profile for the jurisdiction will be updated to include the new document signature date only after an official review of the document.

2) Plan Change

- a) A change to a planning document involves making specific changes to a limited number of pages to update the document. Changes are typically numbered for identification and issued to holders of the document with a cover memorandum that has replacement pages attached. The cover memorandum indicates which pages are to be removed and which replacement pages are to be inserted in the document; see Figures 3-1 and 3-2 for samples of a document change memorandum. The person receiving the change is expected to make the required page changes to the document and then annotate the Record of Changes at the front of the document to indicate the change has been incorporated into the document. If the document has been provided using electronic media, the old media should be discarded and replaced with the updated media. A change to a document does not alter the original document date; new signatures on the document are not required.
- b) Please note, plan revisions and changes should only be submitted in typed format per guidance found in Chapter 6. Handwritten corrections will not be accepted.

#### **IV. TESTING YOUR PLAN**

- A. Testing your plan during a drill or exercise is the best way to identify problem areas and evaluate preparedness without actually experiencing a disaster. All drills and emergency management exercises should include a after-action review to help identify shortfalls in planning. Problems in organization or operational concepts and procedures that do not work well in practice should be addressed and modified. Shortfalls should be addressed in the next iteration of the local planning process.

- B. You also test your plan when you respond to an actual emergency or disaster. Emergency responders who observe problems attributed to unworkable or incomplete plans and procedures should be encouraged to identify those problems as soon as they become evident. A formal post incident review should be conducted after any major emergency or disaster to identify lessons learned; such reviews should specifically consider the adequacy of the current plan. If deficiencies are identified, then you are due for another round of planning to fix them.

Figure 3-1

**SAMPLE DOCUMENT HARDCOPY CHANGE MEMORANDUM**

**LETTERHEAD**

DATE:

TO: Holders of Annex A to the Hazard County Emergency Management Plan

FROM: John Smith, Emergency Management Coordinator

SUBJECT: Change 2 to Annex A, Hazard County Emergency Management Plan

Change 2 to Annex A, Warning, is attached. The effective date of the change is May 7, 2007. Make the following changes in your copy of the annex:

Remove

page A-3/A-4

page A-7/A-8

Appendix 5

Appendix 6

Insert

page A-3/A-4

page A-7/A-8

page A-8a

Appendix 5

Appendix 6

In the Record of Changes at the front of the document, enter the change number (Change 2) and its date (5-7-07), your name, and the date the change was posted to the document. Then discard this memorandum.

Signature

Figure 3-2

**SAMPLE DOCUMENT CHANGE MEMORANDUM**

**LETTERHEAD**

DATE:

TO: Holders of Annex A to the Hazard County Emergency Management Plan

FROM: John Smith, Emergency Management Coordinator

SUBJECT: Change 2 to Annex A, Hazard County Emergency Management Plan

Change 2 to Annex A, Warning, is included on the enclosed document CD. The effective date of the change is May 7, 2007. Replace the old Annex A CD with the enclosed CD.

Signature



## **CHAPTER 4—FORMAT AND CONTENT OF LOCAL PLANNING DOCUMENTS**

### **I. EMERGENCY PLANNING DOCUMENTS**

- A. Emergency planning documents consist of the basic plan, supporting functional annexes, and, where appropriate, appendices.
1. **Basic Plan.** The basic plan should be a relatively brief "umbrella" document that cites appropriate legal authority for emergency operations, outlines the jurisdiction's emergency organization and policies, provides a general concept for emergency operations, and assigns general responsibilities for emergency planning and response operations to specific departments, agencies, and groups.
  2. **Annexes.** The basic plan is amplified by annexes that describe how certain emergency functions will be performed. The primary audience for these annexes is those who will perform the function covered by the annex.
  3. **Appendices.** Annexes may include appendices that provide additional information pertinent to emergency functions.
  4. **Standard Operating Procedures.** Standard operating procedures (SOPs) provide detailed instructions an individual or an organization needs to perform specific functions. They are not typically part of the plan or its annexes, but may be referenced in the plan.

### **II. PREPAREDNESS AND PLANNING**

Emergency planning is one of the three components of local emergency preparedness assessed regularly by TDEM. Ideally, local governments should seek to achieve an advanced level of preparedness by developing a basic plan as well as annexes for each emergency function outlined in the basic plan. The list of standardized annexes established by TDEM is provided in Figure 4-1. The Division's pamphlet, *Preparedness Standards for Texas Emergency Management*, outlines planning requirements to achieve basic, intermediate, and advanced levels of planning preparedness.

### **III. PLANNING DOCUMENT FORMATS**

Neither the state nor the federal government requires a specific format be used for emergency management plans. However, the sample plans and annexes provided by TDEM through its website are prepared in a uniform outline format and annexes are identified using a standardized scheme. TDEM recommends your planning documents be prepared in a similar format.

### **IV. ELEMENTS OF THE BASIC PLAN**

As noted previously in this *Guide*, the basic plan should provide an overview of the jurisdiction's emergency concepts and policies, outline the response organization, identify emergency tasks to be performed and assign those tasks to specific individuals,

departments, and others. The following is a sample format for a basic plan and a description of what goes into each section.

A. Introductory Material

1. *Cover.* Should identify the jurisdiction(s) covered by the plan.
2. Approval and Implementation Page
  - a. Introduces the plan, outlines its applicability, indicates that it supercedes all previous plans.
  - b. It must have a signature date.
  - c. Must be signed by the chief elected official (Mayor or County Judge) of the jurisdiction. An inter-jurisdictional plan must be signed by the County Judge and the Mayor of each city that is a party to the plan.
3. Record of Changes
4. Table of Contents

B. Section I—Authority

This section should cite the legal basis (local, state, and federal) for emergency operations and activities. List statutes, ordinances, court orders, executive orders, state and federal regulations, and formal mutual aid agreements relevant to emergencies.

C. Section II—Purpose

This section should contain a general statement of what the emergency management plan is meant to do and identify the jurisdictions that are covered by the plan. The statement should be supported by a brief synopsis of the basic plan and its functional annexes.

D. Section III—Explanation of Terms

1. List and explain acronyms used in the basic plan.
2. List and explain abbreviations used in the basic plan.
3. Define those terms used in the basic plan that merit explanation.

E. Section IV—Situation and Assumptions

1. *Situation.* The situation section characterizes the planning environment and makes it clear why emergency planning is necessary. The situation statement is a set of facts upon which the plan is based. The situation statement should summarize the threat posed by particular hazards and their potential impact on people and property, making reference to more detailed information contained in

the jurisdiction's hazard analysis, highlight significant geographic, economic, and population characteristics, and address any key resource limitations.

2. Assumptions. Assumptions are reasonable suppositions that have been treated as being true for purposes of planning for emergency operations, generally because "hard" data is not available or it is impossible to determine probabilities of a particular event. For example, one may assume that external resources covered by a mutual aid agreement will be provided when requested because that has generally been the case, but on occasion they may not be available because they have been committed elsewhere. Such assumptions are made explicit in the plan to indicate the limitations on planning and indicate to users that the plan may have to be adjusted during the implementation phase if some of the assumptions used in its preparation prove to be incorrect.

#### F. Section V—Concept of Operations

1. This section should outline the objectives of the local emergency management program, summarize the emergency responsibilities of local government, and describe the jurisdiction's general approach to emergency situations – outline what should happen, when, at whose direction, and with which participants. The concept of operations should address the response to a full spectrum of emergency situations, from incidents to major disasters. It should indicate who is authorized to implement the emergency management plan and activate emergency facilities and under what conditions. This section should also describe the emergency powers of local government and how they are invoked, describe assistance available pursuant to mutual aid agreements and from the state and federal governments, and identify who may request assistance and under what conditions.
1. This section should also outline the general activities to be performed during the phases of emergency management—preparedness, response, and recovery.
2. The concept of operations must necessarily discuss certain issues relating to warning, direction and control, and resource management that should be dealt with more fully in functional annexes.

#### G. Section VI—Organization and Assignment of Responsibility

1. Organization. This section should describe the local emergency organization that will respond to emergency situations. A graphic depicting the emergency organization should be provided.
2. Assignment of Responsibilities for Emergency Functions.
  - a. This section should summarize the tasks required to accomplish various emergency functions and assign responsibility for those tasks to an individual by position or to an agency. As many functions require effort from several departments or agencies, primary responsibility is assigned to one individual or department, and supporting roles to the others. For ease of reference, the plan should include a matrix showing the primary and supporting responsibilities of various departments and agencies. For each emergency

function, a separate annex to the plan should be prepared to explain the function in more detail; outline operational tasks and describe how they are to be carried out; highlight preplanning, coordination and reporting requirements; and include additional information pertinent to the function.

b. It is recommended that assignment of responsibilities be divided into three subsections:

- 1) Executive Group. The Executive Group includes the County Judge and county commissioners for counties; the Mayor, city council, and city manager for cities, or both for multi-jurisdictional programs, as well as the Emergency Management Coordinator. This subsection should include a brief description of the legal authority of Mayors and Judges contained in the Texas Disaster Act and the Executive Order of the Governor Relating to Emergency Management.
- 2) Emergency Services, including the Incident Commander.
- 3) Support Services.

c. Formulating Assignments

- 1) Primary responsibilities for an emergency function should be assigned to the local government department or agency head most capable of handling it. Some assignments are obvious, such as law enforcement and firefighting. Others, such as resource management and shelter and mass care, may require some discussion to determine which city/county department might be best equipped to handle them. Assignments of responsibilities should be coordinated with individuals, departments, and agencies concerned before they are written into the plan to ensure that those departments or agencies can, in fact, carry out the responsibilities that they are assigned.
- 2) Emergency management is the legal responsibility of government – not of volunteers and volunteer agencies. Hence, the responsibility for emergency functions should be assigned to local government officials and departments or to agencies or organizations that respond to the direction of local government pursuant to a contract or agreement. However, volunteer effort is important and the expertise and resources of volunteer organizations active in disasters and local businesses and industry are extremely valuable and should be planned for where they are available. Where possible, local government employees specifically charged with responsibility in the plan should coordinate the efforts of these non-governmental entities in supporting emergency operations. It is highly desirable for local governments and such entities to enter into written agreements, which should include a description of the assistance the entities are prepared to render during emergencies and the timelines involved, to ensure that planning is based on realistic expectations.

3. Emergency Functions. The basic plan should describe the functions that must be performed to prepare for or respond to emergency situations; including the following:
  - a. Warning. Provides for alerting public officials and emergency response personnel and warning the general public of an actual or impending emergency.
  - b. Communications. Provides for establishing, using, and augmenting communications facilities and equipment to direct and coordinate emergency services and support forces, obtain information, and request assistance.
  - c. Shelter and Mass Care. Provides for establishing and operating temporary emergency shelters and protecting evacuees and other disaster victims from the effects of a disaster by providing food, clothing, medical care, and other essential life support services.
  - d. Radiological Protection. Provides for a coordinated response to emergencies involving radioactive material and for determining and implementing measures to protect life, property, and the environment in a radiological emergency.
  - e. Evacuation. Provides for the identification of areas from which people may have to be relocated during emergency and for coordinated actions to conduct orderly evacuations.
  - f. Firefighting. Provides for firefighting services to protect life and property.
  - g. Law Enforcement. Provides for the protection of life and property, enforcement of laws and regulations, traffic control during emergencies, and access control for disaster areas.
  - h. Health and Medical Services. Provides for public health, sanitation, and mortuary services during emergency situations.
  - i. Public Information. Provides for the development and dissemination of instructions and emergency-related information to the general public, either directly or through the news media, and for public education relating to emergency preparedness.
  - j. Recovery. Provides for organizing, coordinating, and conducting post-disaster recovery activities, to include damage assessments, assistance to individuals, and assistance to governments, public agencies and certain non-profit organizations.
  - k. Public Works and Engineering. Provides for the use of engineering and construction resources to inspect damaged structures, clear debris, repair roads, and restore essential facilities.

- l. Utilities. Provides for coordinating actions to prevent damage to utilities where possible, restore utilities that sustain damage, and provide of temporary emergency power to support critical facilities.
- m. Resource Management. Provides for the acquisition, distribution, and use of personnel, equipment, and supplies to satisfy needs that are generated by an emergency.
- n. Direction and Control. Provides for overall management and coordination of emergency operations, including the management of response and support forces and the coordination of the joint efforts of local government, volunteer groups, other private agencies, and state agencies in supporting such operations. This function also includes operation of an incident command system and an emergency operating center.
- o. Human Services. Provides for emergency public services during an emergency or disaster, including provision of food, water, and clothing and disaster mental health services.
- p. Hazard Mitigation. Provides a comprehensive program of pre-disaster and post-disaster actions to reduce hazard consequences and risks to the jurisdictions from hazards identified in the local hazard analysis.
- q. Hazardous Materials and Oil Spills. Provides for detecting, reporting, responding to, containing or controlling, and recovering from releases of hazardous materials and oil spills that could threaten life, property, or the environment.
- r. Rescue. Provides for search and rescue efforts.
- s. Transportation. Provides for the identification, organization, coordination, and use of equipment, personnel, and supplies to satisfy transportation needs that are generated by an emergency.
- t. Donations Management. Provides the basis for organizing and implementing a program to manage donations of goods and services that may occur during a major emergency to ensure that donations of needed materials and services are facilitated while donations of unneeded goods and services are discouraged.
- u. Legal. Provides guidance on utilizing the emergency powers of local government and handling legal issues arising from emergencies.
- v. Terrorist Incident Response. Provides operational concepts for the local response to deliberate acts of terrorism or threats of such acts.

#### H. Section VII—Direction and Control

- 1. This section is primarily concerned with emergency response operations. It should clearly spell out who is in overall charge of the emergency management program and identify who has authority to manage specific emergency activities

and direct response forces. It should specify who has the authority to request external assistance. This section should outline the general role of the Incident Commander at the scene of an emergency and of the EOC, if it is activated, and describe how their efforts will be coordinated. Lines of succession for key positions should be outlined in this section.

2. This section should also include a summary of the emergency powers of local government, with appropriate references to the legal annex, which should describe procedures for invoking these powers and provide sample legal documents.

#### I. Section VIII—Readiness Levels

1. Many emergency situations follow some recognizable build-up period during which local readiness actions should increase as the situation becomes more threatening. The basic plan should include a readiness classification scheme that outlines readiness levels; the standard classification scheme has four readiness levels:
  - a. Level IV – Normal Conditions
  - b. Level III – Increased Readiness
  - c. Level II– High Readiness
  - d. Level I – Maximum Readiness
2. The basic plan should define each readiness level and outline the general emergency management actions appropriate to each.

#### J. Section IX—Administration and Support

1. This section of the plan covers general administrative requirements and the availability of services and support for all types of emergencies.
2. It should outline general policies for administering resources, including requirements for tracking the source and use of resources and expenditures during emergencies. It should reference any mutual aid agreements or emergency response contracts that exist and indicate who is authorized to activate those agreements or contracts. Local policies that have been established regarding the use of volunteers or accepting donated goods and services should be summarized. Reference should be made to administrative requirements applicable to emergency operations, such as emergency purchasing procedures, which appear in other documents.
3. This section should also:
  - a. Outline procedures for requesting assistance from the State in the event local resources are insufficient to handle an emergency or disaster.

- b. Establish requirements for periodic situation reporting to the local Disaster District during major emergencies, with reference to a standardized reporting format.
- c. Establish requirements for a post-emergency review of major emergency operations.

#### K. Section X—Plan Development and Maintenance

This section should establish policies and procedures for review and update of the plan and its annexes and should:

- 1. Identify by position the individuals responsible for developing and maintaining the emergency management plan and for approving and implementing it.
- 2. Identify by position the individuals responsible for developing and maintaining the annexes to the plan by reference to a list of annex assignments.

#### L. Attachments to the Basic Plan

The following materials should be attached to the basic plan:

- 1. Attachment 1 – Distribution List (the distribution list for the plan and its annexes).
- 2. Attachment 2 – References (a list of pertinent references).
- 3. Attachment 3 – Organization for Emergencies (a graphic depicting the local emergency organization).
- 4. Attachment 4 – Functional Responsibility Matrix (a table outlining responsibilities for various emergency functions).
- 5. Attachment 5 – Annex Assignments (lists the annexes to the plan and recaps responsibilities for developing and maintaining them).
- 6. Attachment 6 – Summary of Agreements and Contracts
- 7. National Incident Management System (NIMS) Summary
- 8. Planners may add additional attachments as they see fit.

### V. **ANNEXES TO THE EMERGENCY MANAGEMENT PLAN**

Annexes to the basic plan describe how specific emergency functions will be performed, include specific task assignments related to those functions, and provide checklists, sample documents, forms, maps, and other materials relating to the emergency function that is the subject of the annex. A list of standardized annexes is provided in Figure 4-1.



## A. Annex Format

The suggested format for annexes generally follows the format used in the basic plan and includes:

### 1. Section I—Authority

- a. Reference should be made to Section I of the basic plan that provides a list of general legal authorities for the emergency management program.
- b. List additional authorities that are pertinent to the specific subject of the annex.

### 2. Section II—Purpose

Summarize the purpose of the annex.

### 3. Section III—Explanation of Terms

- a. List and explain acronyms used in the annex.
- b. List and explain abbreviations used in the annex.
- c. Define those terms used in the annex that merit explanation.

### 4. Section IV—Situation and Assumptions

- a. Make reference to Section IV of the basic plan, which outlines the general situation and assumptions used in planning.
- b. List additional situation information and assumptions pertinent to the specific subject of the annex.

### 5. Section V—Concept of Operations

- a. Describe the general concept for carrying out the emergency function that is the subject of the annex. Explain what should happen, who should act, when, and at whose direction. Where appropriate, the concept of operations should include actions to be taken during each of the four phases of emergency management.
- b. The description of major operational functions should be as specific as possible in the annex, but details of how tasks will be accomplished are normally included in SOPs. The annex should fully explain how a particular emergency function will be carried out, but need not repeat extensive information that appears in the basic plan, another annex, or some other document; instead, simply refer the reader to the document that contains the pertinent information.

6. Section VI—Organization and Assignment of Responsibilities

- a. Organization. Ensure that any unique organizational arrangements pertinent to the emergency function addressed in the annex are adequately described.
- b. Assignment of Responsibilities. Whereas the basic plan assigns general responsibilities for emergency functions, annexes should contain more specific task assignments relating to the function covered by the annex. Tasks should be clearly defined and responsibilities assigned to those individuals, departments, and agencies that have the capability to perform them. Coordination requirements should be described. Task assignments in the annex, including language in its appendices and tabs, should conform to the general responsibilities assigned in the basic plan.

7. Section VII—Direction and Control

Describe the emergency response command structure, indicating who is in charge and the authorities of key response personnel. Describe how response organizations will be notified of emergency situations and the means of obtaining, analyzing, and disseminating situation information. Describe the relationship between the incident commander, incident command post and the EOC, if activated. Outline provisions for coordination and communication among response elements and direction and control facilities.

8. Section VIII—Readiness Levels

Describe the actions that should be taken at various readiness levels, referring to the description of readiness levels contained in Section VIII of the basic plan.

9. Section IX—Administration and Support

Outline any administrative and support requirements unique to the emergency function that is the subject of the annex. Describe any particular record-keeping or periodic reporting requirements relating to this emergency function and indicate who is responsible for those tasks. Describe any forms, logs, databases, or other materials needed to carry out the emergency function. Make reference to any administrative guidance, agreements, or procedures applicable to the function.

10. Section X—Plan Development and Maintenance

- a. Indicate, by position, the individual responsible for developing and maintaining the annex.
- b. Make reference to the general guidance contained in Section X of the basic plan regarding review and update of planning materials.

11. Section XI--References

Provide a list of references pertinent to the subject of the annex.

## B. Additional Annexes

1. Local planners may wish to prepare additional annexes for emergency functions not covered by state planning standards. Functions that might be addressed in such annexes include emergency training and exercises, financial management for emergency operations, caring for animals during emergencies, and others.
2. Jurisdictions within the emergency planning zones of the Comanche Peak and South Texas Project nuclear power plants must have an annex or equivalent document outlining preparedness activities relating to the hazards posed by those facilities and procedures for responding to an incident at those facilities. Jurisdictions within the emergency planning zone of the U.S. Department of Energy Pantex Plant must have an annex or equivalent document outlining preparedness activities relating to the hazards posed by the facility and procedures for responding to an incident at that facility.

## B. Appendices

Appendices should be added to each annex as necessary to provide amplifying information, sample documents, checklists, diagrams, maps, and other materials pertinent to the emergency function addressed in the annex.

Figure 4-1

# **STATE FUNCTIONAL ANNEXES**

Basic Emergency Management Plan	
Annex A	Warning
Annex B	Communications
Annex C	Shelter and Mass Care
Annex D	Radiological Protection
Annex E	Evacuation
Annex F	Firefighting
Annex G	Law Enforcement
Annex H	Health and Medical Services
Annex I	Public Information
Annex J	Recovery
Annex K	Public Works and Engineering
Annex L	Utilities
Annex M	Resource Management
Annex N	Direction and Control
Annex O	Human Services
Annex P	Hazard Mitigation
Annex Q	Hazardous Materials and Oil Spill Response
Annex R	Search and Rescue
Annex S	Transportation
Annex T	Donations Management
Annex U	Legal
Annex V	Terrorist Incident Response

## **CHAPTER 5—SUGGESTIONS FOR PREPARING LOCAL PLANNING DOCUMENTS**

### **I. GENERAL**

This section provides a number of suggestions regarding preparation of plans, annexes, and other planning documents.

### **II. ORGANIZATION**

A. The Basic Plan is typically organized:

1. Basic Plan text
2. Attachments, which are numbered
3. Tabs, which are designated by letter

B. Sample annexes are typically organized:

1. Annex, designated by letter
2. Appendices, which are numbered
3. Tabs, which are designated by letter
4. Attachments, which are numbered

C. Both the basic plan and annexes are normally prepared in outline form using the following scheme:

1. 1st level: roman numerals: I, II
2. 2nd level: capital letters: A, B
3. 3rd level: Arabic numbers: 1, 2
4. 4th level: lower case letters: a, b
5. 5th level: Arabic numbers in parenthesis or parentheses: 1), 2) or (1), (2)
6. 6th level: lower case letters in parenthesis or parentheses: a), b) or (a), (b)
7. Beyond the sixth level, lower case roman numerals (i, ii, iii) or underlined Arabic numbers (1, 2, 3) are typically used.

### **III. FORMAT**

A. Page size: normally 8 ½ by 11 inches.

B. Margins:

1. at least .7 inch top and bottom; 1 inch is more typical
  2. at least 1 inch on the left to provide for binding or three hole punching
  3. at least .7 inch on the right; 1 inch is more typical
- C. Font size: normally 11 or 12 point
- D. Spacing: text is normally single spaced, with double spacing between paragraphs.
- E. Page numbering:
1. For the Basic Plan:
    - a. Introductory pages of the Plan: lower case roman numerals for introductory pages: i, ii, iii
    - b. Plan text: Arabic numbers for the main portion of the plan: 1, 2, 3
    - c. Attachments: appendix number, dash, page number: 1-1, 1-2, 1-3
    - d. Tabs: prefix consisting of appendix number and tab designator, dash, page number: A1-1, A1-2, A2-1
  2. For annexes:
    - a. Annexes: annex letter, dash, page number: B-1, B-2, B-3
    - b. Appendices: annex letter, dash, appendix number, dash, page number: C-2-1, C-2-2, C-2-3
    - c. Tabs: annex letter, dash, appendix number, dash, tab letter, dash, page number: C-2-A-1, C-2-A-2, C-2-A-3
    - d. Attachments: annex letter, dash, appendix number, dash, tab letter, dash, attachment number, dash, page number: D-3-A-1-1
  3. When it is necessary to add an additional page to an existing document without renumbering subsequent pages, such pages are typically numbered with a lower case alphabetic suffix to the page they follow. For example, a page added after an existing page A-5 would be numbered A-5a.

#### **IV. OTHER SUGGESTIONS**

- A. Numerals. Spell out numbers smaller than 10 and use numerals for 10 or greater.
- B. Names. As the individuals who occupy particular positions change fairly frequently, use position titles rather than names in planning documents.

- C. Acronyms. Spell out the entire name and include the acronym in parentheses the first time it is used. *Example:* the Texas Division of Emergency Management (TDEM).
- D. Illustrations and Tables. Illustrations and tables incorporated into the text of a document should be given a figure or table number and a title.
- E. Revision or Change Markings. Where copies of plans and annexes will be widely distributed, it is often a good idea to indicate the revision number or change number as a footer in the lower left or right of each page to facilitate quickly checking a document to see if it has been updated.
- F. Maps
  - 1. Where possible, use the same type of maps in the plan that will be used by emergency responders.
  - 2. Maps should be large enough for the information on them to be usable by the reader. If necessary, use foldouts or divide large maps into sections on separate pages.
  - 3. All maps should include a north arrow, legend, and scale.
  - 4. When it is not practical to insert a map into the planning document, indicate where the map is located and the official or agency responsible for maintaining it.

## **CHAPTER 6—SUBMITTING LOCAL PLANNING MATERIALS**

### **I. BACKGROUND**

Pursuant to §418.043(b) of the Government Code, TDEM is required to review local emergency management planning documents. TDEM also maintains information on the status of local emergency plans and annexes for use in assessing statewide preparedness. TDEM publishes standards for local emergency management plans and annexes pursuant to §418.043(a) of the Texas Government Code, and reviews for compliance local emergency management planning documents based on the standards.

### **II. REVIEW OF PLANNING DOCUMENTS AND STATE PLANNING STANDARDS CHECKLIST**

- A. When local governments prepare or update their emergency management planning documents, both copies of the revised documents and a completed copy of the corresponding State Planning Standards Checklist must be submitted to TDEM. Planning materials not accompanied by a completed checklist will be held in suspense pending receipt of the checklist.
- B. A TDEM Policy and Plans Unit planner will review new and revised local planning documents and enter the results of the review in the local planning database. Planners will communicate directly with the local Emergency Management Director or designated EMC on any noted State Planning Standard deficiencies or plan recommendations. The Emergency Management Director or Coordinator may authorize TDEM to communicate with other planning entities concerning specific planning issues.
- C. Upon completing the review, the preparedness profile for the jurisdiction will be updated and forwarded via email to the jurisdiction, the corresponding COG or Regional Planning Commission, and the RLO.
- D. Any state planning standard deficiencies identified during the review must be corrected by the jurisdiction within 60 days or the planning document will be deemed non-compliant with state standards. This may impact the eligibility of a jurisdiction for federal grants administered by TDEM. The status of plans will be considered “Status Pending” during the 60 day grace period, after which time the document will be deemed deficient.
- E. If documents in the Basic Level of Preparedness are not corrected to meet state standards, the status of the plan will be changed to “Status Pending” until corrections are made. See TDEM-100, Preparedness Standards for Texas Emergency Management, Section 1 – Planning Standards, for more information.



### III. GUIDANCE FOR SUBMISSION OF LEGAL DOCUMENTS AND PLANNING MATERIALS

- A. The Emergency Management Document Transmittal Sheet (DEM-37) provided in Attachment 1 to this *Guide* should be used as a cover sheet for submitting all documents. Submit one copy of each document in hard copy or individual CD format directly to TDEM.
- B. Legal Documents. Legal documents relating to emergency management include City Ordinances or Commissioners Court Orders establishing city or county emergency management programs, joint resolutions establishing multi-jurisdictional emergency management programs, and NIMS adoption. Legal authorities with each jurisdictional/inter-jurisdictional plan should review all legal documents to ensure legal compliance with jurisdiction codes, policies, and procedures.
- C. New Plans or Annexes
  - 1. Forward one copy of the signed and dated plan or annex and one copy of the completed planning standard checklist that covers the plan or annex.
  - 2. Retain a copy of the completed checklist in your planning files for use in preparing an updated checklist when you revise the plan or annex.
  - 3. The date of the new document will be entered into the state's local planning database as the date of that document.
- D. Plan Revisions
  - 1. Forward one copy of the revised plan or annex with new signature(s) and a new document date.
  - 2. Complete and forward one copy of a new planning standards checklist that covers the plan or annex.
  - 3. Retain a copy of the completed checklist in your planning files for use in preparing an updated checklist when you revise the plan or annex.
  - 4. TDEM will enter the date of the revised document in the local plans database as the new date of that document.
- E. Formal Changes to Plans. See the definition of a formal plan change in Section III.B.3.b) of Chapter 3.
  - 1. For electronic submissions forward one complete copy of the plan or annex with the change incorporated, including a copy of the Record of Changes showing the date of the change to the document. It is not necessary to obtain new signatures on the document.

2. Complete and forward one copy of a new planning standards checklist that covers the updated plan or annex.
3. Retain a copy of the completed checklist in your planning files for use when you revise the plan or annex again.
4. When a formal plan change is received, the date of the change in the local plans database and on planning profiles does not change the date of the document.

F. Establishing, Adding, and Withdrawing From Emergency Management Programs

1. Establishing a Single Jurisdiction Emergency Management Program

- a. Municipal (City) Program. Use the format in Attachment 2, sample City Ordinance Establishing a Municipal Emergency Management Program, to establish a municipal emergency management program.
- b. County Program. Use the format in Attachment 3, Sample Commissioners Court Order Establishing a County Emergency Management Program, to establish a county emergency management program.

2. Establishing an Inter-jurisdictional Emergency Management Program

- a. Each participating jurisdiction should first establish a municipal or county emergency management program as indicated in paragraph 1 above.
- b. Each participating jurisdiction should then approve a joint resolution (see sample format in Attachment 4) which merges the programs previously established into a combined or inter-jurisdictional emergency management program.

3. Adding a jurisdiction to an existing Inter-jurisdictional Emergency Management Program:

- a. The jurisdiction that desires to join an existing program should first establish its own municipal or county emergency management program through city ordinance or court order as indicated above.
- b. A new joint resolution establishing an expanded Inter-jurisdictional Emergency Management Program must be approved by all of the existing program participants and the new program participant.
- c. The chief elected official of the jurisdiction joining an inter-jurisdictional management program must sign the Approval and Implementation page of the Basic Plan for the inter-jurisdictional program.

4. Withdrawing from an Inter-jurisdictional Emergency Management Program

Any party may withdraw from an inter-jurisdictional plan by giving sixty days advance notice in writing to each of the signatories of the inter-jurisdictional plan and to the TDEM.

## **CHAPTER 7—PLANNING STANDARDS AND CHECKLISTS**

### **I. BACKGROUND**

The Division of Emergency Management has adopted standards for local emergency management plans pursuant to §418.043(a) of the Texas Government Code.

### **II. PLANNING STANDARDS**

#### **Current Standards and Sample Planning Documents**

- A. Figure 4-1 includes the complete list of current local planning document templates for which the state planning standards are applicable.
- B. State planning standards are updated periodically to clarify intent, update references, and address current planning issues. The current planning standards are available on the TDEM web site (see inside front cover of this document). When beginning a planning project, it is required to download the current standards and recommended to download the current sample planning documents from the TDEM web site to ensure you have the most recent versions. Planning notes are also available on the web site for the basic plan and each annex to assist local officials in tailoring the sample documents to local circumstances.
- C. The planning standards will include certain items, identified in italics on the checklist, that are particularly important. If these standards are not adequately addressed in the planning document, the document will be deemed deficient during the plan review.

### **III. COMPLETING STANDARDS CHECKLISTS**

- A. Planning standards checklists are normally completed by the individual who prepared the plan or annex. The individual who completes a standards checklist must specify where requirements are met by referencing a section and paragraph in the plan or annex. For example, if you are completing the standards checklist for Annex E (Evacuation) and one of the checklist standards is satisfied in paragraph IV.A.3.c of that annex, this citation should be entered in the appropriate place on the standards checklist. It is not necessary to enter page numbers.
- B. Combined Annexes. If annexes are combined to form a combined function annex , such as combining Annex F (Firefighting) and Annex R (Search and Rescue) to form a Annex F (Fire and Rescue), the content of both original annexes must be carefully merged into the combined annex. The combined annex must meet the standards for both annexes, and both State Planning Standards checklists should be completed and sent in with the combined annex.

### **IV. RETAINING COPIES OF STANDARDS CHECKLISTS**

The official completing the planning standards checklists should retain a copy for their files so that when they revise or update the plan or annexes, the previous checklist for that document can be used as a basis for preparing a checklist for the revised document.

**LOCAL EMERGENCY MANAGEMENT DOCUMENT TRANSMITTAL FORM**

<b>Jurisdiction:</b>	<b>Date:</b>
----------------------	--------------

Enclosed are the Following Documents:

**Legal Documents**

- ☐ Initial or updated city ordinance establishing a city emergency management program.
- ☐ Initial or updated commissioners court order establishing a county emergency management program.
- ☐ Initial or updated joint resolution establishing an inter-jurisdictional emergency management program.

**New Planning Documents**

- ☐ New Basic Plan dated \_\_\_\_\_ and a completed planning standards checklist. The Basic Plan must be signed and dated by the Mayor for a city plan or the County Judge for a county plan. For an inter-jurisdictional plan, the County Judge and the Mayors of those jurisdictions that are parties to the plan should sign it.
- ☐ New annex dated \_\_\_\_\_ with a completed planning standards checklist. New annexes must be signed by one or more officials in accordance with local practice.

**Revised Planning Documents** [See TDEM-10, Chapter 3, section III.B.3.b).1)]

- ☐ Revised Basic Plan dated \_\_\_\_\_ and a completed planning standards checklist. The basic plan must be signed and dated by the Mayor for a city plan or the County Judge for a county plan. For an inter-jurisdictional plan, the County Judge and the Mayors of those jurisdictions that are parties to the plan should sign it.
- ☐ Revised annex dated \_\_\_\_\_ and a completed planning standards checklist. Revised annexes must be signed by one or more officials in accordance with local practice.

**Documents Updated by Changes** [See TDEM-10, Chapter 3, section III.B.3.b).2)]

- ☐ Update to the Basic Plan dated \_\_\_\_\_ incorporating change that is dated and an updated planning standards checklist.
- ☐ Update to annex dated \_\_\_\_\_ incorporating change that is dated and an updated planning standards checklist.

**Submitted By:**

<b>Printed Name:</b>	<b>Signature:</b>
<b>Title:</b>	<b>Phone Number:</b>

TDEM-37  
12/07

**Mail Completed Documents to:**  
Texas Division of Emergency Management  
Attn: Preparedness Section  
5805 North Lamar Blvd.  
Austin, TX 78773

**SAMPLE CITY ORDINANCE ESTABLISHING AN EMERGENCY MANAGEMENT PROGRAM**

ORDINANCE NO. \_\_\_\_\_

AN ORDINANCE ESTABLISHING A PROGRAM RESPONSE AND RECOVERY PHASES OF COMPREHENSIVE EMERGENCY MANAGEMENT; ACKNOWLEDGING THE OFFICE OF EMERGENCY MANAGEMENT DIRECTOR; AUTHORIZING THE APPOINTMENT OF AN EMERGENCY MANAGEMENT COORDINATOR; AND PROVIDING FOR THE DUTIES AND RESPONSIBILITIES OF THOSE OFFICES; IDENTIFYING AN OPERATIONAL ORGANIZATION; GRANTING NECESSARY POWERS TO COPE WITH ALL PHASES OF EMERGENCY MANAGEMENT WHICH THREATEN LIFE AND PROPERTY IN THE CITY OF \_\_\_\_\_; AUTHORIZING COOPERATIVE AND MUTUAL AID AGREEMENTS FOR RELIEF WORK BETWEEN THIS AND OTHER CITIES OR COUNTIES AND FOR RELATED PURPOSES.

WHEREAS, the City Council of the City of \_\_\_\_\_ finds that the identification of potential hazards and the prevention or mitigation of their effects must be an on-going concern of the City if the lives and property of the populace are to be protected; and

WHEREAS, the City Council hereby declares that the preparation of a Comprehensive Emergency Management plan, and the means for its implementation, for the protection of lives and property of lives and property in the City of \_\_\_\_\_ from natural or man-caused disasters or threat thereof is immediately essential; and

WHEREAS, the City Council further finds that in times of disasters which may imperil the safety of the inhabitants of the City, or their property, it becomes necessary to effectuate and place into operation the preconceived plans and preparations with a minimum of delay; and

WHEREAS, the City Council finds, therefore, that the preparation and implementation of such plans are now imperative; BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF \_\_\_\_\_:

**Section 1. ORGANIZATION**

There exists the office of Emergency Management Director of the City of \_\_\_\_\_, which shall be held by the Mayor in accordance with State law.

- (a) An Emergency Management Coordinator may be appointed by and serve at the pleasure of the Director;
- (b) The Director shall be responsible for a program of comprehensive emergency management within the City and for carrying out the duties and responsibilities set forth in this ordinance. He/she may delegate authority for execution shall remain with the Director.
- (c) The operational Emergency Management organization of the City of \_\_\_\_\_ shall consist of the officers and employees of the City so designated by the Director in the emergency management plan, as well as organized volunteer groups. The functions and duties of this organization shall be distributed among such officers and employees in accordance with the terms of the Emergency Management plan.

**Section 2. EMERGENCY MANAGEMENT DIRECTOR – POWERS AND DUTIES**

The duties and responsibilities of the Emergency Management Director shall include the following:

- (a) Surveying actual or potential hazards which threaten life and property within the City and identifying and requiring or recommending the implementation of measures which would tend to prevent the occurrence or reduce the impact of such hazards if a disaster did occur.
- (b) Supervision of the development and approval of an emergency management plan for the City of \_\_\_\_\_, and shall recommend for adoption by the City Council all mutual aid arrangements deemed necessary for the implementation of such plan.
- (c) Authority to declare a local state of disaster. The declaration may not be continued or renewed for a period in excess of 7 days except by or with the consent of the City Council. Any order or proclamation declaring, continuing, or terminating a local state of disaster shall be given prompt and general publicity and shall be filed promptly with the City Secretary.
- (d) Issuance of necessary proclamations, regulations, or directives which are necessary for carrying out the purposes of this ordinance. Such proclamations, regulations, or directives shall be disseminated promptly by means calculated to bring its contents to the attention of the general public and, unless circumstances attendant on the disaster prevent or impede, promptly filed with the City Secretary.
- (e) Direction and control of the operations of the \_\_\_\_\_ Emergency Management organization as well as the training of Emergency Management personnel.
- (f) Determination of all questions of authority and responsibility that may arise within the Emergency Management organization of the City.
- (g) Maintenance of liaison with other municipal, County, District, State, regional or federal Emergency Management organizations.
- (h) Marshaling of all necessary personnel, equipment, or supplies from any department of the City to aid in the carrying out of the provisions of the emergency management plan.
- (i) Supervision of the drafting and execution of mutual aid agreements, in cooperation with the representatives of the State and of other local political subdivisions of the State, and the drafting and execution, if deemed desirable, of an agreement with the county in which said City is located and with other municipalities within the County, for the County-wide coordination of Emergency Management efforts.
- (j) Supervision of, and final authorization for the procurement of all necessary supplies and equipment, including acceptance of private contributions, which may be offered for the purpose of improving Emergency Management within the City.
- (k) Authorizing of agreements, after approval by the City Attorney, for use of private property for public shelter and other purposes.
- (l) Surveying the availability of existing personnel, equipment, supplies, and services which could be used during a disaster, as provided for herein.
- (m) Other requirements as specified in the Texas Disaster Act (Chapter 418 of the Government Code).

**Section 3. EMERGENCY MANAGEMENT PLAN**

A comprehensive Emergency Management Plan shall be developed and maintained in a current state. The plan shall set forth the form of the organization; establish and designate divisions and functions; assign responsibilities, tasks, duties, and powers; and designate officers and employees to carry out the provisions of this ordinance. As provided by State law, the plan shall follow the standards and criteria established by the State Division of Emergency Management of the State of Texas. Insofar as possible, the form of organization, titles, and terminology shall conform to the recommendations of the State Division of Emergency Management. When approved, it shall be the duty of all departments and agencies to perform the functions assigned by the plan and to maintain their portion of the plan in a current state of readiness at all times. The emergency management plan shall be considered supplementary to this ordinance and have the effect of law during the time of a disaster.

**Section 4. INTER-JURISDICTIONAL PROGRAM**

The Mayor is hereby authorized to join with the County Judge of the County of \_\_\_\_\_ and the Mayors of the other cities in said County in the formation of an inter-jurisdictional emergency management program for the County of \_\_\_\_\_, and shall have the authority to cooperate in the preparation of an inter-jurisdictional emergency management plan and in the appointment of a joint Emergency Management Coordinator, as well as all powers necessary to participate in a County-wide program of emergency management insofar as said program may affect the City of \_\_\_\_\_.

**Section 5. OVERRIDE**

At all times when the orders, rules, and regulations made and promulgated pursuant to this ordinance shall be in effect, they shall supersede and override all existing ordinances, orders, rules, and regulations insofar as the latter may be inconsistent therewith.

**Section 6. LIABILITY**

This ordinance is an exercise by the City of its governmental functions for the protection of the public peace, health, and safety and neither the City of \_\_\_\_\_, the agents and representatives of said City, nor any individual, receiver, firm, partnership, corporation, association, or trustee, nor any of the agents thereof, in good faith carrying out, complying with or attempting to comply with, any order, rule, or regulation promulgated pursuant to the provisions of this ordinance shall be liable for any damage sustained to persons as the result of said activity. Any person owning or controlling real estate or other premises who voluntarily and without compensation grants to the City of \_\_\_\_\_ a license of privilege, or otherwise permits the City to inspect, designate, and use the whole or any part or parts of such real estate or premises for the purpose of sheltering persons during an actual, impending, or practice enemy attack or natural or man-made disaster shall, together with his successors in interest, if any, not be civilly liable for the death of, or injury to, any person on or about such real estate or premises under such license, privilege or other permission or for loss of, or damage to, the property of such person.

**Section 7. COMMITMENT OF FUNDS**

No person shall have the right to expend any public funds of the City in carrying out any Emergency Management activity authorized by this ordinance without prior approval by the City Council, nor shall any person have any right to bind the City by contract, agreement, or otherwise without prior and specific approval of the City Council unless during a declared disaster. During a declared disaster, the Mayor may expend and/or commit public funds of the City when deemed prudent and necessary for the protection of health, life, or property.

**Section 8. OFFENSES; PENALTIES**

- (a) It shall be unlawful for any person willfully to obstruct, hinder, or delay any member of the Emergency Management organization in the enforcement of any rule or regulation issued pursuant to this ordinance.
- (b) It shall likewise be unlawful for any person to wear, carry, or display any emblem, insignia, or any other means of identification as a member of the Emergency Management organization of the City of \_\_\_\_\_, unless authority to do so has been granted to such person by the proper officials.
- (c) Convictions for violations of the provisions of this ordinance shall be punishable by fine not to exceed \_\_\_\_\_ dollars (\$\_\_\_\_\_).

**Section 9. SEVERABILITY**

If any portion of this ordinance shall, for any reason, be declared invalid such, invalidity shall not affect the remaining provisions thereof.

**Section 10. LIMITATIONS**

This ordinance shall not be construed so as to conflict with any State or Federal statute or with any military or naval order, rule, or regulation.

**Section 11. REPEALER**

All ordinances, parts of ordinances, or resolutions in conflict herewith are expressly repealed.

READ AND APPROVED on first reading this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

READ AND APPROVED AND ADOPTED on second reading this the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Mayor  
City of \_\_\_\_\_, Texas

ATTEST:

\_\_\_\_\_  
City Secretary



**SAMPLE COMMISSIONERS COURT ORDER  
ESTABLISHING A COUNTY EMERGENCY MANAGEMENT PROGRAM**

ORDER NO. \_\_\_\_\_

BY THE COMMISSIONERS COURT OF \_\_\_\_\_ COUNTY, TEXAS,  
ESTABLISHING A PROGRAM OF COMPREHENSIVE EMERGENCY  
MANAGEMENT; ACKNOWLEDGING THE OFFICE OF EMERGENCY MANAGEMENT  
DIRECTOR; AUTHORIZING THE APPOINTMENT OF AN EMERGENCY MANAGEMENT  
COORDINATOR; AND PROVIDING FOR THE DUTIES AND  
RESPONSIBILITIES OF THOSE OFFICES; IDENTIFYING AN OPERATIONAL  
ORGANIZATION; GRANTING NECESSARY POWERS TO COPE WITH ALL  
PHASES OF EMERGENCY MANAGEMENT WHICH THREATEN LIFE AND  
PROPERTY IN THE COUNTY OF \_\_\_\_\_; AUTHORIZING COOPERATIVE  
AND MUTUAL AID AGREEMENTS FOR RELIEF WORK BETWEEN THIS AND OTHER CITIES  
OR COUNTIES AND FOR RELATED PURPOSES; AND MAKING VIOLATIONS A  
MISDEMEANOR PUNISHABLE BY FINE NOT TO EXCEED \$ \_\_\_\_\_.

WHEREAS, the Commissioners Court of the County of \_\_\_\_\_ finds that the  
identification of potential hazards and the prevention or mitigation of their effects must be an  
on-going concern of the County if the lives and property of the populace are to be protected; and

WHEREAS, the Commissioners Court declares that the preparation of a Comprehensive  
Emergency Management plan, and the means for its implementation, for the protection of lives and  
property in the County of \_\_\_\_\_ from natural or man-caused disasters or threat thereof  
is immediately essential; and

WHEREAS, the Commissioners Court further finds that in times of disasters which may  
imperil the safety of the inhabitants of the County, or their property, it becomes necessary to effectuate  
and place into operation the preconceived plans and preparations with a minimum of delay; and

WHEREAS, the Commissioners Court finds, therefore that the preparation, and  
implementation of such plans are now imperative; BE IT ORDERED, ADJUDGED AND DECREED BY  
THE COMMISSIONERS COURT OF \_\_\_\_\_ COUNTY, TEXAS:

**Section 1. ORGANIZATION**

There exists the office of Emergency Management Director of the County of \_\_\_\_\_, which shall be held by the County Judge in accordance with state law.

- (a) An Emergency Management Coordinator may be appointed by and serve at the pleasure of the Director;
- (b) The Director shall be responsible for a program of comprehensive emergency management within the county and for carrying out the duties and responsibilities set forth in this court order. He/she may delegate authority for execution of these duties to the Coordinator, but ultimate responsibility for such execution shall remain with the Director.
- (c) The operational Emergency Management organization of the County of \_\_\_\_\_ shall consist of the officers and employees of the County so designated by the Director in the emergency management plan, as well as organized volunteer groups. The functions and duties of this organization shall be distributed among such officers and employees in accordance with the terms of the emergency management plan.

**Section 2. EMERGENCY MANAGEMENT DIRECTOR – POWERS AND DUTIES**

The duties and responsibilities of the Emergency Management Director shall include the following:

- (a) Surveying actual or potential hazards which threaten life and property within the county and identifying and requiring or recommending the implementation of measures which would tend to prevent the occurrence or reduce the impact of such hazards if a disaster did occur.
- (b) Supervision of the development and approval of an emergency management plan for the County of \_\_\_\_\_, and shall recommend for adoption by the Commissioners Court all mutual aid arrangements deemed necessary for the implementation of such plan.
- (c) Authority to declare a local state of disaster. The declaration may not be continued or renewed for a period in excess of 7 days except by or with the consent of the Commissioners Court. Any order or proclamation declaring, continuing, or terminating a local state of disaster shall be given prompt and general publicity and shall be filed promptly with the County Clerk.
- (d) Issuance of necessary proclamations, regulations or directives which are necessary for carrying out the purposes of this Court Order. Such proclamations, regulations, or directives shall be disseminated promptly by means calculated to bring its contents to the attention of the general public and, unless circumstances attendant on the disaster prevent or impede, promptly filed with the County Clerk.
- (e) Direction and control of the operations of the \_\_\_\_\_ County Emergency Management organization as well as the training of Emergency Management personnel.
- (f) Determination of all questions of authority and responsibility that may arise within the Emergency Management organization of the County.
- (g) Maintenance of the liaison with other municipal, county, district, state, regional or federal, Emergency Management organizations.

- (h) Marshaling of all necessary personnel, equipment or supplies from any department of the County to aid in the carrying out of the provisions of the emergency management plan.
- (i) Supervision of the drafting and execution of mutual aid agreements, in cooperation with the representatives of the state and of other local political subdivisions of the state, and the drafting and execution, if deemed desirable, of an agreement with the cities located in \_\_\_\_\_ County for the county-wide coordination of Emergency Management efforts.
- (j) Supervision of, and final authorization for the procurement of all necessary supplies and equipment, including acceptance of private contributions which may be offered for the purpose of improving Emergency Management within the County.
- (k) Authorizing of agreements, after approval by the County Attorney, for use of private property for public shelter and other purposes.
- (l) Surveying the availability of existing personnel, equipment, supplies and services which could be used during a disaster, as provided for herein.
- (m) Other requirements as specified in the Texas Disaster Act, (Chapter 418, Government Code).

**Section 3. EMERGENCY MANAGEMENT PLAN**

A comprehensive Emergency Management Plan shall be developed and maintained in a current state. The plan shall set forth the form of the organization, establish and designate divisions and functions, assign responsibilities, tasks, duties, and powers, and designate officers and employees to carry out the provisions of this order. As provided by state law, the plan shall follow the standards and criteria established by the Texas Division of Emergency Management of the State of Texas. Insofar as possible, the form of organization, titles and terminology shall conform to the recommendations of the Texas Division of Emergency Management. When approved, it shall be the duty of all departments and agencies to perform the functions assigned by the plan and to maintain their portion of the plan in a current state of readiness at all times. The emergency management plan shall be considered supplementary to this order and have the effect of law during the time of a disaster.

**Section 4. INTER-JURISDICTIONAL PROGRAM**

The County Judge is hereby authorized to join with the Mayors of the cities in \_\_\_\_\_ County in the formation of an inter-jurisdictional emergency management program for \_\_\_\_\_ and shall have the authority to cooperate in the preparation of an inter-jurisdictional emergency management plan and in the appointment of a joint Emergency Management Coordinator, as well as all powers necessary to participate in a county-wide program of emergency management insofar as said program may affect the County of \_\_\_\_\_.

**Section 5. OVERRIDE**

At all times when the orders, rules and regulations made and promulgated pursuant to this order shall be in effect, they shall supersede and override all existing ordinances, orders, rules and regulations insofar as the latter may be inconsistent therewith.

**Section 6. LIABILITY**

This order is an exercise by the County of its governmental functions for the protection of the public peace, health, and safety and neither the County of \_\_\_\_\_, the agents and representatives of said County, nor any individual, receiver, firm, partnership, corporation, association, or trustee, nor any of the agents thereof, in good faith carrying out, complying with or attempting to comply with, any order, rule, or regulation promulgated pursuant to the provisions of this order shall be liable for any damage sustained to persons as the result of said activity. Any person owning or controlling real estate or other premises who voluntarily and without compensation grants to the County of \_\_\_\_\_ a license of privilege, or otherwise permits the County to inspect, designate and use the whole or any part or parts of such real estate or premises for the purpose of sheltering persons during an actual, impending or practice enemy attack or natural or man-made disaster shall, together with his successors in interest, if any, not be civilly liable for the death of, or injury to, any person on or about such real estate or premises under such license, privilege or other permission or for loss of, or damage to, the property of such person.

**Section 7. COMMITMENT OF FUNDS**

No person shall have the right to expend any public funds of the County in carrying out any Emergency Management activity authorized by this order without prior approval by the Commissioners Court, nor shall any person have any right to bind the County by contract, agreement, or otherwise without prior and specific approval of the Commissioners Court unless during a declared disaster. During a declared disaster, the County Judge may expend and/or commit public funds of the County when deemed prudent and necessary for the protection of health, life, or property.

**Section 8. OFFENSES; PENALTIES**

- (a) It shall be unlawful for any person willfully to obstruct, hinder, or delay any member of the Emergency Management organization in the enforcement of any rule or regulation issued pursuant to this order.
- (b) It shall likewise be unlawful for any person to wear, carry or display any emblem, insignia, or any other means of identification as a member of the Emergency Management organization of the County of \_\_\_\_\_, unless authority to do so has been granted to such person by the proper officials.
- (c) Convictions for violations of the provisions of this order shall be punishable by fine not to exceed \_\_\_\_\_ dollars (\$\_\_\_\_\_).

**Section 9. SEVERABILITY**

If any portion of this order shall, for any reason, be declared invalid such, invalidity shall not affect the remaining provisions thereof.

**Section 10. LIMITATIONS**

This order shall not be construed so as to conflict with any State or Federal statute or with any military or naval order, rule, or regulation.

**Section 11. Repealer**

All orders, parts of orders, or resolutions in conflict herewith are expressly repealed.

READ AND APPROVED on first reading this the \_ day of \_\_\_\_\_, 20\_\_.

READ AND APPROVED AND ADOPTED on second reading this the \_\_\_\_ day of \_\_\_, 20\_\_.

\_\_\_\_\_  
County of \_\_\_\_\_, County Judge  
\_\_\_\_\_, Texas

\_\_\_\_\_  
\_\_\_\_\_, Commissioner, Precinct One

\_\_\_\_\_  
\_\_\_\_\_, Commissioner, Precinct Two

\_\_\_\_\_  
\_\_\_\_\_, Commissioner, Precinct Three

\_\_\_\_\_  
\_\_\_\_\_, Commissioner, Precinct Four

ATTEST:

\_\_\_\_\_  
County Clerk

**SAMPLE JOINT RESOLUTION ESTABLISHING AN  
INTER-JURISDICTIONAL EMERGENCY MANAGEMENT PROGRAM**

WHEREAS, the cities of \_\_\_\_\_ by City Ordinance No. \_\_\_\_\_, and \_\_\_\_\_ County by Commissioners Court Order dated \_\_\_\_\_, have established similar programs of comprehensive emergency management which includes the mitigation, preparedness, response and recovery phases of emergency management; and

WHEREAS, the Cities and County find that vulnerability to many potential hazards is shared by residents of \_\_\_\_\_ and the unincorporated portions of \_\_\_\_\_ County; and

WHEREAS, the Cities and County further finds that the common goal of emergency management can best be achieved through an organization which shares the combined resources of the City and the County; and

WHEREAS, the contemplated action is specifically authorized by the aforementioned Ordinance and Court Order;

THEREFORE, BE IT RESOLVED that there is hereby established the \_\_\_\_\_ Emergency Management program which shall consist of the officers and employees of the City and of the County as designated in an inter-jurisdictional emergency management plan, together with such organized volunteer groups as that plan may specify; and

BE IT FURTHER RESOLVED that the Mayor (s) of \_\_\_\_\_ and the \_\_\_\_\_ County Judge shall mutually appoint an Emergency Management Coordinator to coordinate all aspects of the \_\_\_\_\_ program of comprehensive emergency management, including the preparation and maintenance of an inter-jurisdictional emergency management plan for \_\_\_\_\_ and \_\_\_\_\_ County in accordance with this resolution.

BE IT FURTHER RESOLVED that any party to this agreement may withdraw from the combined organization created by this resolution and its related inter-jurisdictional emergency management plan by giving sixty days advance notice in writing to each of the signatories to this resolution and to the Texas Division of Emergency Management.

RESOLVED this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Mayor, City of

\_\_\_\_\_  
County Judge, \_\_\_\_\_ County

\_\_\_\_\_  
Mayor, City of

\_\_\_\_\_  
Mayor, City of

Attest:

\_\_\_\_\_  
City Secretary

\_\_\_\_\_  
County Clerk